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## NOTICE OF ALLOWANCE AND FEE(S) DUE

23364 7590 12/27/2010

BACON & THOMAS, PLLC  
625 SLATERS LANE  
FOURTH FLOOR  
ALEXANDRIA, VA 22314-1176

EXAMINER

NEILS, PEGGY A

ART UNIT

PAPER NUMBER

2885

DATE MAILED: 12/27/2010

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/591,396

09/01/2006

Hideki Etori

ETOR3004/GAL

9584

TITLE OF INVENTION: LIGHT CONTROL FILM AND BACKLIGHT UNIT USING THE SAME

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	03/28/2011

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.**

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.**

### HOW TO REPLY TO THIS NOTICE:

#### I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.**

# **PART B - FEE(S) TRANSMITTAL**

**Complete and send this form, together with applicable fee(s), to: Mail Mail Stop ISSUE FEE  
Commissioner for Patents  
P.O. Box 1450  
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**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

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Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

23364 7590 12/27/2010

**BACON & THOMAS, PLLC**  
625 SLATERS LANE  
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ALEXANDRIA, VA 22314-1176

## **Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/591,396	09/01/2006	Hideki Etori	ETOR3004/GAL	9584

TITLE OF INVENTION: LIGHT CONTROL FILM AND BACKLIGHT UNIT USING THE SAME

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	03/28/2011

EXAMINER	ART UNIT	CLASS-SUBCLASS
NEILS, PEGGY A	2885	362-606000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 \_\_\_\_\_
- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 \_\_\_\_\_
- 3 \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☐ Issue Fee
- ☐ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s); (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number \_\_\_\_\_ (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature \_\_\_\_\_

Date \_\_\_\_\_

Typed or printed name \_\_\_\_\_

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This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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10/591,396	09/01/2006	Hideki Etori	ETOR3004/GAL	9584
23364	7590	12/27/2010	EXAMINER	
BACON & THOMAS, PLLC 625 SLATERS LANE FOURTH FLOOR ALEXANDRIA, VA 22314-1176			NEILS, PEGGY A	
			ART UNIT	PAPER NUMBER
			2885	
DATE MAILED: 12/27/2010				

## Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 1043 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 1043 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

**Notice of Allowability**

Application No.

10/591,396

Examiner

PEGGY A. NEILS

Applicant(s)

ETORI, HIDEKI

Art Unit

2885

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to amendment filed December 2, 2010.
2. ☒ The allowed claim(s) is/are 1-16.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |  |  |
|--|--|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892)   | 5. <input type="checkbox"/> Notice of Informal Patent Application                      |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 6. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____. |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date _____    | 7. <input type="checkbox"/> Examiner's Amendment/Comment                               |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material | 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance   |
|  | 9. <input type="checkbox"/> Other _____.   |

***Drawings***

The drawings were received on December 2, 2010. These drawings are approved.

***Allowable Subject Matter***

Claims 1-16 are allowed.

The following is an examiner's statement of reasons for allowance: Claims 1 and 13-16 are allowable over the prior art because claim 1 sets forth a light control film having a rough surface, wherein for a curved surface of the rough surface in an approximately square region having an area of 1 mm<sup>2</sup> or larger defined in an arbitrary position on the rough surface, by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, an average of slopes of the curved surface of the rough surface with respect to a base plane of the film is not less than 27 degrees and not more than 70 degrees at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 2 is allowable over the prior art because claim 2 sets forth a light control film having a rough surface formed by a pattern layer comprising a material having a refractive index  $n$ , wherein for a curved surface of the rough surface in an approximately square region having an area of 1 mm<sup>2</sup> or larger defined in an arbitrary position on the rough surface, by using height data of the rough surface measured in predetermined intervals in the longitudinal and transverse directions in the approximately square region, an average of slopes of the curved surface of the rough surface with respect to a

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base plane of the film is not less than 59-20n degrees and not more than 70 degrees at any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 3 is allowable over the prior art because claim 3 sets forth a light control film having a rough surface, wherein, for the a curved surface of the rough surface in an approximately square region having an area of 1 mm<sup>2</sup> or larger defined at an arbitrary position on the rough surface, by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, an average of slopes of the curved surface of the rough surface with respect to a base plane of the film and a ratio of  $Ar = A2/A1$  of an area A1 of the approximately square region and a surface area A2 of the approximated curved surface of the rough surface satisfying an equation at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 4 is allowable over the prior art because claim 4 sets forth light control film having a rough surface formed by a patterned layer comprising a material having a refractive index n, wherein, for a curved surface of the rough surface in an approximately square region having an area of 1 mm<sup>2</sup> or larger defined at an arbitrary position on the rough surface by using height data of the rough surface measured in predetermined intervals in the longitudinal and transverse directions in the approximately square region and an average of slopes of the curved surface of the rough surface with respect to the base plane of the film and a ratio  $A2/A1$  of an area A1

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of the approximately square region and a surface A2 of the approximated curved surface of the rough surface satisfy one of the equations set forth in the claim for any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 5 is allowable over the prior art because claim 5 sets forth a light control film having a rough surface, wherein for a curved surface of the rough surface in an approximately square region having an area of  $1 \text{ mm}^2$  or larger defined in an arbitrary position on the rough surface, by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, an average of slopes of the curved surface of the rough surface with respect to a base plane of the film is not less than 27 degrees and not more than 70 degrees, and an absolute value of the numerical value  $\text{Ask}$  calculated in accordance with an equation set forth in the claim by using all the height data of the rough surface is not more than 1.2 is satisfied at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 6 is allowable over the prior art because claim 6 sets forth a light control film having a rough surface formed by a pattern layer comprising a material having a refractive index  $n$ , wherein a condition that, for a curved surface of the rough surface in an approximately square region having an area of  $1 \text{ mm}^2$  or larger defined at an arbitrary position on the rough surface by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the

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approximately square region, an average of slopes of the curved surface of the rough surface with respect to a base plane of the film is not less than 59-20n degrees and not more than 70 degrees, and an absolute value of a numerical value Ask calculated in accordance with the equation set forth in the claim by using all the height data of the rough surface is not more than 1.2 is satisfied at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 7 is allowable over the prior art because claim 7 sets forth a light control film having a rough surface, wherein a condition that, for a curved surface of the rough surface in an approximately square region having an area of 1 mm<sup>2</sup> or larger defined at an arbitrary position on the rough surface, by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, an average of slopes of the curved surface ( $\theta_{nv}$  (degree)) of the rough surface with respect to a base plane of the film is not less than 27 degrees and not more than 70 degrees, and a numerical value (Aku) calculated in accordance with the equation set forth in the claim by using all the height data of the rough surface is not less than 1.5 and not more than 5.0 is satisfied at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 8 is allowable over the prior art because claim 8 sets forth a light control film having a rough surface formed by a pattern layer comprising a material having a refractive index n, wherein a condition that, for a curved surface of the rough surface in



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an approximately square region having an area of  $1 \text{ mm}^2$  or larger defined at an arbitrary position on the rough surface by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, an average of slopes of the curved surface of the rough surface with respect to a base plane of the film is not less than  $59-20n$  degrees and not more than 70 degrees, and a numerical value  $A_{ku}$  calculated in accordance with the equation set forth in the claim by using all the height data of the rough surface is not less than 1.5 and not more than 5.0 is satisfied at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 9 is allowable over the prior art because claim 9 sets forth a light control film having a rough surface, wherein a condition that, for the a curved surface of the rough surface in an approximately square region having an area of  $1 \text{ mm}^2$  or larger defined at an arbitrary position on the rough surface, by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, a ratio of  $A_r = A_2/A_1$  of an area  $A_1$  of the approximately square region and a surface area  $A_2$  of the approximated curved surface of the rough surface is not less than 1.2 and not more than 2.5 and absolute value of a numerical value  $A_{sk}$  calculated in accordance with the equation set forth in the claim by using all the height data of the rough surface is not more than 1.2 is satisfied at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

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Claim 10 is allowable over the prior art because claim 10 sets forth a light control film having a rough surface formed by a patterned layer comprising a material having a refractive index  $n$ , wherein a condition that, for a curved surface of the rough surface in an approximately square region having an area of  $1 \text{ mm}^2$  or larger defined at an arbitrary position on the rough surface by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, a ratio  $A_2/A_1$  of an area  $A_1$  of the approximately square region and a surface  $A_2$  of the approximated curved surface of the rough surface is not less than  $2-0.5n$  and not more than 2.5, and absolute value of a numerical value  $A_{sk}$  calculated in accordance with the equation set forth in the claim by using all the height data of the rough surface is not more than 1.2 is satisfied at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 11 is allowable over the prior art because claim 11 sets forth a light control film having a rough surface, wherein a condition that, for the a curved surface of the rough surface in an approximately square region having an area of  $1 \text{ mm}^2$  or larger defined at an arbitrary position on the rough surface, by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, a ratio of  $A_r = A_2/A_1$  of an area  $A_1$  of the approximately square region and a surface area  $A_2$  of the approximated curved surface of the rough surface is not less than 1.2 and not more than 2.5, and a numerical value  $A_{ku}$  calculated in accordance with the equation set forth in the claim by using all the

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surface height data is not less than 1.5 and not more than 5.0 is satisfied at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Claim 12 is allowable over the prior art because claim 12 sets forth a light control film having a rough surface formed by a patterned layer comprising a material having refractive index  $n$ , wherein, for a curved surface of the rough surface in an approximately square region having an area of  $1 \text{ mm}^2$  or larger, defined at an arbitrary position on the rough surface, by using height data of the rough surface measured at predetermined intervals in the longitudinal and transverse directions in the approximately square region, a ratio of an area of the approximately square region ( $A_1$ ) and a surface area of the approximated curved surface of the rough surface is not less than 2-0.5 and not more than 2.5, and a numerical value  $A_{ku}$  calculated in accordance with the equation set forth in the claim by using all the surface height data is not less than 1.5 and not more than 5.0 at substantially any position on the light control film. This combination of limitations was not shown or suggested by the prior art.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Peggy Neils whose telephone number is (571) 272-2377. The examiner can normally be reached Monday through Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jong-Suk (James) Lee can be reached on (571) 272-7044. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

PAN

/Stephen F. Husar/  
Primary Examiner, Art Unit 2875